

PATENT  
Docket No. 5095-4075

Express Mail Label No. EV357836805US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND APPLICATION FEE TRANSMITTAL (1.53(b))



Applicant(s): Norihito TAKEUCHI; Fumikazu ISOGAI; Yasuya MITA; and Eiki NIIDA  
Serial No.: TBA Group Art Unit: TBA  
Filed: Concurrently Herewith Examiner: TBA  
For: OPTICAL ELEMENT, PLANAR LIGHTING UNIT AND LIQUID CRYSTAL DISPLAY UNIT  
Customer No.: 27123

Mail Stop Patent Application  
COMMISSIONER FOR PATENTS  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application of:

Named Inventor(s) and Address(es): Norihito TAKEUCHI; Fumikazu ISOGAI; Yasuya MITA; and Eiki NIIDA

c/o KABUSHIKI KAISHA TOYOTA JIDOSHOKKI  
2-1, Toyoda-cho, Kariya-shi, Aichi-ken, Japan

For: OPTICAL ELEMENT, PLANAR LIGHTING UNIT AND LIQUID CRYSTAL DISPLAY UNIT

Enclosed are:

[X] 28 page(s) of specification, 1 page(s) of Abstract, 6 page(s) of claims

[X] 4 sheets of drawing [X] formal (Figures 1A - 6) [ ] informal

[ X ] 4 page(s) of Declaration and Power of Attorney

[ ] Unsigned  
[X] Newly Executed  
[ ] Copy from prior application

[ ] Deletion of inventors including Signed Statement under 37 C.F.R. § 1.63(d)(2)

- ☐ Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the combined declaration and power of attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.
- ☐ Microfiche Computer Program (Appendix)
- ☐ \_\_\_\_\_ page(s) of Sequence Listing
- ☐ computer readable disk containing Sequence Listing
- ☐ Statement under 37 C.F.R. § 1.821(f) that computer and paper copies of the Sequence Listing are the same
- ☒ Claim for Priority (Claim to Convention Priority) is made to Japanese Patent Application No. 2002-353296 filed on December 5, 2002 and to Japanese Patent Application No. 2003-164238 filed on June 9, 2003.
- ☒ Certified copies of the Priority Document Nos. 2002-353296 and 2003-164238 are enclosed herewith.
- ☐ English translation documents
- ☒ Information Disclosure Statement
- ☒ Copies of the cited references, including Form PTO-1449
- ☐ Copy of PTO-1449 filed in parent application serial No. \_\_\_\_\_.
- ☐ Preliminary Amendment
- ☒ Return receipt postcard (MPEP 503)
- ☒ Assignment Papers (assignment cover sheet and assignment documents)
- ☒ The amount of \$ 40.00 for recording the Assignment is included in the check for the filing fee.
- ☐ Assignment papers filed in parent application Serial No. \_\_\_\_\_.
- ☐ Certification of chain of title pursuant to 37 C.F.R. § 3.73(b).
- ☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part (C-I-P) of prior application serial no. \_\_\_\_\_.
- ☐ Cancel in this application original claims \_\_\_\_\_ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application.
- ☐ The status of the parent application is as follows:
- ☐ A Petition For Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until \_\_\_\_\_.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.

- ☐ No Petition For Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the patent application to this application.
- ☐ Amend the specification by inserting before the first line the sentence:  
This is a ☐ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. \_\_\_\_\_  
\_\_\_\_\_ filed \_\_\_\_\_.

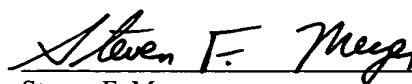
## I. CALCULATION OF APPLICATION FEE (For Other Than A Small Entity)

	Number Filed		Number Extra	Rate	Basic Fee \$ 770.00
Total Claims	27	-20 =	7	x \$ 18.00	\$ 126.00
Independent Claims	4	- 3 =	1	x \$ 86.00	\$ 86.00
Multiple Dependent Claims	<input type="checkbox"/> yes		Additional Fee =		
	<input checked="" type="checkbox"/> no		Add'l Fee =	\$ 290.00	\$ 0.00
				NONE	

Total: \$ 982.00

- ☐ A statement claiming small entity status is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. § 1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. § 1.9(F) (50% of total) paid herewith \$ \_\_\_\_\_.
- ☒ A check in the total amount of \$1022.00 is attached in payment of the application filing fee and recordal of assignment.
- ☐ Charge Fee(s) to Deposit Account No. 13-4500. Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for filing this application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 5095-4075. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,



Steven F. Meyer  
Registration No. 35,613

Dated: December 3, 2003

## CORRESPONDENCE ADDRESS:

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800  
(212) 751-6849 Facsimile

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Norihito TAKEUCHI; Fumikazu ISOGAI; Yasuya MITA; and Eiki NIIDA  
Serial No.: TBA Group Art Unit: TBA  
Filed: Concurrently Herewith Examiner: TBA  
For: OPTICAL ELEMENT, PLANAR LIGHTING UNIT AND LIQUID CRYSTAL DISPLAY UNIT  
Customer No.: 27123

**EXPRESS MAIL CERTIFICATE**

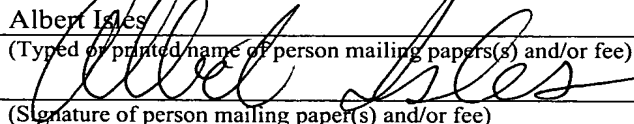
Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Express Mail Label No.: **EV357836805US**  
Date of Deposit: **December 3, 2003**

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Fee Transmittal;
2. Recordation Form Cover Sheet;
3. Executed Assignment;
4. Information Disclosure Statement;
5. PTO-Form 1449 w/copies of all cited references;
6. Specification: 28 pp., Claims: 6 pp., and Abstract: 1 pg.;
7. Four (4) sheets of Formal Drawings (Figs. 1A-6);
8. Claim to Convention Priority;
9. Certified copies of the priority application nos. 2002-353296 and 2003-164238;
10. Executed Declaration (4 pp.);
11. A check in the amount of \$1022.00; and
12. A return receipt postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Albert Igles  
(Typed or printed name of person mailing paper(s) and/or fee)  
  
(Signature of person mailing paper(s) and/or fee)

**Correspondence Address:**  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile